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ABSTRACT

The Certified School Personnel Evaluation Pilot Program (Outside Evaluator Project) has two primary purposes. The first is to compare evaluations performed by persons employed by an agency other than the units to which they are assigned with evaluations performed by locally-employed personnel. The second purpose is to determine the effectiveness of an evaluation system that does not include immediate financial rewards for participants, but rather is designed to support improvements in the work performance of those who are evaluated. Nine local school administrative units in North Carolina are participating in the pilot project, three units evaluating teachers, three evaluating principals/assistant principals, and three evaluating both teachers and administrators. This report provides information on: (1) the implementation of the program; (2) research questions being pursued; (3) working arrangements between the Outside Evaluator Project and the local school units; (4) observation methods; and (5) evaluator training. Summaries are presented of procedures followed by the program participants. (JD)

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EXECUTIVE SUMMARY

Midway through the first full operational year of the Outside Evaluator project, teacher observer/evaluators, principal observer/evaluators, clerical staff, and administrators have been employed and assigned to six office sites convenient to the nine participating LEAs. All staff members have received extensive training in topics appropriate to their assignments. Working arrangements have been established with each of the LEAs, and personnel are conducting observations of teachers and principals according to schedules developed jointly with participating schools. As of December 31, 1987, a total of 1,372 observations had been completed by outside evaluators, and a total of 1,908 pre - or post -observation conferences had been held.

Data are being collected to address Project research questions (i.e., How do evaluations of certified school personnel compare with evaluations performed by locally employed evaluators? and Does this type of personnel evaluation program produce improved performance of certified school personnel?). Initial analysis of these data will take place after completion of the first cycle of observations at the end of the 1987-88 school year. Interim reports on research results will be presented annually, and a final report is due in June, 1990.

Certified School Personnel Evaluation Pilot Program
(G.S. 115C-362)

Interim Report
1987-1988

INTRODUCTION

The 1985 Session of the General Assembly established the "Certified School Personnel Evaluation Pilot Program," (Session Laws 1985, c.479, s.38), providing for the evaluation of teachers, principals, and assistant principals by outside evaluators. The text of the legislation, including amendments enacted during the 1986 Session, is as follows:

> "The State Board of Education shall develop and implement a certified school personnel evaluation pilot program. In this program, certified school personnel shall be evaluated by outside evaluators. Teachers shall be evaluated using the Performance and Appraisal Instrument and Process System developed by the State Board of Education. The State Board of Education shall develop a separate Performance and Appraisal Instrument and Process to evaluate principals and assistant principals. Each employee shall be given the results of his evaluation and shall be encouraged to use the results to improve the way he does his job.
>
> "Nine local school administrative units shall be selected by the State Board to participate in the pilot program from units that volunteer to participate. Units that do not wish to participate shall not be compelled to do so. In three units, all of the principals and assistant principals shall be evaluated, in three units, all of the teachers shall be evaluated, and in three units, all of the principals, assistant principals, and teachers shall be evaluated. The evaluators shall be selected and trained by the local boards of education and the Department of Public Instruction.
>
> "Program planning shall take place from July 1, 1985, through June 30, 1986. Program implementation shall take place from July 1, 1986, through June 30, 1990. Evaluations shall begin January 1, 1987.
>
> "The State Board shall report on the implementation of the pilot program by February 1 of each year to the President of the Senate, the Speaker of the House of Representatives, the Fiscal Research Division, the chairmen of the Appropriations Base Budget, Appropriations Expansion Budget, Ways and Means, Appropriations Base Budget on Education and Education Committees in the Senate, and the

Chairmen of the Appropriations Base Budget, Appropriations Expansion Budget, Appropriations Base Budget on Education, Appropriations Expansion Budget on Education and Education Committees in the House of Representatives. The report for the first year shall indicate which local school administrative units have volunteered and been selected to participate in the program, which employees will be evaluated in each of those units, and the projected cost of implementing the program in each of those units in ensuing years."

PURPOSES

Overall, the program has two primary purposes. The first is to compare evaluations performed by persons employed by an agency other than the school units to which they are assigned with evaluations performed by locally-employed personnel. The second purpose is to determine the effectiveness of an evaluation system that does not include immediate financial rewards for participants, but rather is designed to support improvements in the work performance of those who are evaluated.

PARTICIPATING LOCAL SCHOOL ADMINISTRATIVE UNITS

Nine local school administrative units are participating in the pilot project, with three units evaluating teachers, three units evaluating principals/assistant principals, and three units evaluating both teachers and principals/assistant principals. They are:

Teachers Only	Principals/Assistant Principals Only	Teachers and Principals/ Assistant Principals
Jackson County	Lenoir County	Granville County
Vance County	Kinston City	Robeson County
Warren County	Stanly County	Weldon City

Approximately 135 principals and assistant principals are employed by the six school units in which outside evaluations of these persons are conducted and over 2,000 teachers are employed in the units in which these positions are evaluated.

PROGRAM IMPLEMENTATION

Implementation of the Certified School Personnel Evaluation Pilot Program, known by the working title, "Outside Evaluator Project," began during 1986-1987, and will continue through June 30, 1990 in accord with the enabling legislation. The program is administered by the Division of Personnel Relations in the Personnel Services Area of the Department of Public Instruction.

The staff employed by the Department for the project is composed of a project director, consultant and secretary in Raleigh, and seven principal observer/evaluators, 22 teacher observer/evaluators and 12 secretaries assigned to one of six field offices. The locations of those offices are as follows: Oxford (Granville/Vance), Sylva (Jackson), Kinston (Kinston/Lenoir), Lumberton (Robeson), Albemarle (Stanly), and Vaughan (Weldon/Warren). In addition, 18 teacher observer/evaluators, together with administrative and clerical personnel have been employed by the nine pilot units through project funds designated by the General Assembly as flow-through funds.

Observer/evaluators employed by the pilot units received training and began teacher observations during the 1986-1987 school year. Recruitment and employment of outside observer/evaluators for the Department took place between January and May of 1987. Intensive orientation and training activities for these persons were held at central locations for the staff as a whole and at each of the field office sites for the six sub-groups during June and July. Actual observations of teacher performance by outside evaluators began after pilot program schools opened for the 1987-1988 school year.

Teacher performance appraisal instruments already approved by the State Board of Education for use in schools throughout the State are used by the Outside Evaluator Project. In addition, the State Board, at its July 1987 meeting, adopted a new Principal Performance Appraisal Instrument for field testing by Outside Evaluator Project participants during 1987-1988. The results of the field test will be reported to the State Board, along with recommendations for modifications to the instrument at the end of the school year.

PROGRAM RESEARCH

Data are being collected by Project staff members to address the following two major research questions:

- How do evaluations of certified school personnel compare with evaluations performed by locally employed evaluators?
- Does this type of personnel evaluation program produce improved performance of certified school personnel?

Project staff members also are collecting data to address three other research questions related to project purposes. The questions are as follows:

- How can a high level of reliability and consistency among certified school personnel evaluations be ensured?
- What skills and personal characteristics are needed for effective evaluators?
- What is the cost of a comprehensive certified school personnel evaluation system?

WORKING ARRANGEMENTS

Three types of working arrangements between the Outside Evaluator Project and local school administrative units have been developed to accommodate the three types of groups involved in Outside Evaluator Project observation. Those groups are: (1) teachers in OE Project school units; (2) teachers in non-OE Project school units; (3) principals and assistant principals in OE project school units. The arrangements are described below:

1. Teachers in OE Project School Units

Arrangements for the observation and evaluation of teaching personnel in OE Project schools vary slightly from unit to unit to meet both local administrative needs and project research needs. The individual arrangements are outlined in Attachment 1, SUMMARY OF TEACHER OBSERVATION PROCEDURES.

In general, teacher observation assignments for the units as a whole are divided between outside observer/evaluators (O/Es) employed by the Department of Public Instruction and inside O/Es employed by the school systems. In four of the six units in which teacher observations occur, all teachers are observed by both outside O/Es and inside O/Es. In the other two units, teachers are observed by either an outside O/E or an inside O/E, but not by both. However in these two units, as well as three of the other units, groups of 25-30 teachers each have been selected to have each of their classroom observations during the year conducted jointly by an outside O/E and an inside O/E or principal. No matter which variation is used, the principal or principal's designee conducts at least one observation of each teacher. In addition, for personnel appraisal purposes, only the principal's summative performance rating will be included in teacher personnel files. For project research purposes, outside O/Es will prepare independent summative ratings for teachers they have observed that, in turn, will be compared with principal ratings for the same teachers. Individual teacher ratings prepared by outside O/Es, as well as their comparisons with principal rating, will remain in project files and not be considered as part of the formal appraisal of the teachers involved.

2. Teachers in Non-OE Project School Units

The 16 local school administrative units participating in the pilot Career Development Program (CDP) secured an average of 10 classroom teachers each to take part in Outside Evaluator Project research on a voluntary basis during 1987-88. The working arrangements between the Project and CDP units are uniform.

Outside O/Es conduct joint observations with CDP O/Es and principals, and follow the regular school system observation schedules established for the volunteer teachers. The Outside O/Es do not participate in pre and post-observation conferences. Outside O/Es will prepare summative ratings at the end of the school year that will be compared with principal ratings for the same teacher, but the O/E ratings will not be used for appraisal purposes or be included in the teachers' files.

Four of the 22 teacher observer/evaluators employed by the Department of Public Instruction are assigned to conduct observations in the CDP units. This effort is designed not only to provide information for comparing outsider and insider personnel evaluation, but also to provide another check on the reliability of the teacher performance appraisal system across a wide spectrum of North Carolina's school systems.

3. Principals and Assistant Principals in Outside Evaluator Project School Units

At its July 1987 meeting, the State Board of Education adopted a new Principal Performance Appraisal Instrument for field testing during 1987-88 in the six Outside Evaluator Project school systems involved with principal/assistant principal evaluation. Consequently, working arrangements for the principal/assistant principal component of the Project were designed to take into account the instrument field test needs as well as to provide preliminary research data upon which to base comparisons of outsider and insider principal/assistant principal evaluation. Although minor modifications have been made locally as the school year has progressed, the working arrangements for principal/assistant principal evaluations essentially are uniform among project school units.

First step in the process was participation by affected personnel in each of the six principal/assistant principal units in a three-day Effective Principal Training Program prepared by the Department of Public Instruction. This was followed by a group orientation of principals to the evaluation procedures and then by individual preliminary conferences, both conducted jointly by the Outside Principal Observer/Evaluator and the Superintendent. During the remainder of the fall, observations and other performance-related data gathering activities were conducted independently by Outside Evaluator Project personnel and local personnel for each principal and assistant principal. At mid-year, outside O/Es and inside personnel are collaborating in providing formative data analysis feedback to principals and assistant principals. During the remainder of the year independent observations and data gathering will continue, with a second formative data analysis and a summative analysis

and rating to be prepared independently, also, at year's end. The independent analyses and ratings will be compared for research purposes, but only ratings developed by inside personnel will be used for performance appraisal purposes. Outside principal O/Es and insider personnel will collaborate on the preparation of Professional Development Plans with persons whom they have observed.

A more detailed description of principal/assistant principal evaluation working arrangements is outlined in Attachment 2, Implementation of Principal/ Assistant Principal Performance Appraisal System, 1987-88.

OBSERVATIONS

Both the Teacher Performance Appraisal System and the Principal Performance Appraisal System employ information collection and feedback procedures that include the following elements:

1. Pre-observation Conference (for announced observations, only)
2. Observation of Performance (known as "formative observation")
3. Post-observation Conference
4. Summative Analysis and Performance Rating (based upon all formative observations completed during the school year)
5. Preparation of Individual Professional Development Plan

Table 1, OUTSIDE EVALUATOR OBSERVATIONS COMPLETED and Table 2, OUTSIDE EVALUATOR OBSERVATION CONFERENCES COMPLETED summarize the observation activities through December 31, 1987 of Project staff members employed by the Department of Public Instruction. Observation schedules are determined jointly by Project observer/evaluators and participating schools.

Table 1

OUTSIDE EVALUATOR
OBSERVATION COMPLETED
Through December 31, 1987

TYPE	INDIVIDUAL	JOINT	TOTAL
OE PROJECT TEACHERS	854	93	947
CDP PROJECT TEACHERS	-	203	203
OE PROJECT PRINCIPALS/ASS'T PRINCIPALS	208	14	222
TOTAL	1,062	310	1,372

Table 2
OUTSIDE EVALUATOR
OBSERVATION CONFERENCES COMPLETED
Through December 31, 1987

TYPE	INDIVIDUAL	JOINT	TOTAL
PRE-OBSERVATION			
OE PROJECT TEACHERS	852	39	891
CDP PROJECT TEACHERS	*	*	*
OE PROJECT PRINCIPALS/ASS'T PRINCIPALS	90	59	149
SUB-TOTAL	942	98	1,040
POST-OBSERVATION			
OE PROJECT TEACHERS	854	-	854
CDP PROJECT TEACHERS	*	*	*
OE PROJECT PRINCIPALS/ASS'T PRINCIPALS	14	-	14
SUB-TOTAL	868	-	868
TOTAL OBSERVATION CONFERENCES	1,810	98	1,908

*PRE-OBSERVATION AND POST-OBSERVATION CONFERENCES ARE NOT INCLUDED IN THE WORKING ARRANGEMENTS FOR THIS COMPONENT.

TRAINING

Training activities are considered by program administrators to be an important part of the work of the Outside Evaluator Project. These activities include training received by project staff members (staff development), training provided to others by project staff, and resource materials distributed to others by project staff.

1. Staff Developement

Project staff members received extensive training during the summer of 1987 on topics related to the North Carolina Teacher Performance Appraisal System. Particular attention was given to the roles that they, as outside observer/evaluators, play in the application of the system to Project schools. Specific training activities provided for all staff members were:

- Effective Teacher Training
- Teacher Performance Appraisal System Training
- Professional Development Plan Preparation Training
- Mentor/Support Team Training
- Conferencing Skills Training

In October, all staff members participated in a state-wide observer/evaluator conference and in December all attended a project workshop on observation methods. In addition, all principal observer/evaluators received Effective Principal Training.

Other training activities have been provided for groups of staff at their work sites to meet locally identified needs. These activities included practice classroom observations prior to beginning the formal observation process for the school year, workshops on the use of evaluation instruments for specialized categories of certified personnel such as school counselors and media specialists, regular staff meetings, staff retreats, and attendance by some individuals at Regional Education Center staff development programs.

2. Training Events Conducted by Project Staff Members

It is expected also, that Outside Evaluator Project staff members provide training to local school personnel in areas where they have developed particular expertise. By the end of December staff members had been involved in presenting three workshops on Effective Teacher Training, two on the Teacher Performance Appraisal System, eight on Effective Principal Training, two on classroom discipline, and one each on mentoring, writing of formative observation data analyses, and use of teacher assistants.

3. Resource Materials

Each office site has developed files of resource materials related to the improvement of instruction and to the various functions associated with effective classroom teaching. Materials are added to the files continually. The resources are made available by O/Es to teachers, principals, and supervisory personnel in Project schools. One major resource publication that has been produced is an extensive annotated bibliography of practical up-to-date research related to each of the 28 teaching practices contained in five Teacher Performance Appraisal Instrument Functions. The publication has been distributed throughout the Project and copies have been made available to each school system in the State.

CONCLUSIONS

Mid-way through the first full operational year of the Outside Evaluator Project, teacher observer/evaluators, principal observer/evaluators, clerical staff, and administrators have been employed and assigned to six office sites convenient to participating school systems. All staff members have received extensive training in topics appropriate to their assignments. Working arrangements have been established with each of the local school administrative units affiliated with the Project, and personnel are conducting observations of teachers and principals according to schedules developed jointly with participating schools.

In addition to observation/evaluation assignments, project staff members have conducted training activities on a variety of topics for local school personnel and have collected and distributed resources materials related to project interests.

Data are being collected to address Project research questions, with initial analyses to take place after completion of the first cycle of observations at the end of the 1987-88 school year.

Interim reports on research results and related program matters will be presented annually during the course of the Project, with a final report prepared at its conclusion in June 1990.

ATTACHMENT 1

Outside Evaluator Project

1987-1988

SUMMARY OF TEACHER OBSERVATION PROCEDURES

(By Participating Pilot Local School Administrative Units)

1. Granville County
2. Vance County
3. Jackson County
4. Robeson County
5. Weldon City
6. Warren County

GRANVILLE COUNTY AND VANCE COUNTY

Teachers are divided evenly between inside (local) evaluators and outside (state) evaluators for purposes of observations. Each evaluator observes each assigned teacher a minimum of two times a year. The first observation is announced and includes a pre-observation as well as a post-observation conference. The second observation is unannounced. Observer prepared FODAs are given to the principal, who may request, at his/her discretion, that the observer participate in the preparation of professional development plans. The principal or designee conducts a minimum of one observation of each teacher and, again, may call upon the observer to provide information of the summative evaluation.

A group of 25 teachers selected by each school unit (from a total of approximately 400) serves as a sample group for research purposes. These teachers are observed a minimum of three times by an outside evaluator and three times by LEA evaluators (principal and/or inside evaluators). Observations by LEA evaluators and outside evaluators are scheduled to be conducted concurrently. FODAs are maintained separately by both and summative ratings are prepared independently by both and compared by project researchers. Only the LEA summative ratings are maintained in the teacher's file and are used for performance appraisal purposes.

JACKSON COUNTY

Outside evaluators conducts one announced observation, including a pre-observation and a post-observation conference, of every teacher in the

system. Inside evaluators conduct one announced and one unannounced observation of every teacher in the system, and principals will conduct one announced observation of every teacher in his/her school. The principal receives FODAs from both outside and inside evaluators, and together with his/her own FODA determines a summative rating for each teacher. Outside evaluators and inside evaluators assist the principal in preparing Professional Development Plans on request.

For research purposes, outside evaluators conduct three observations jointly with inside evaluators or principals of 30 selected teachers. Independent summative ratings are prepared by outside evaluators. These ratings do not become a part of the teachers' individual files, but are compared with principal ratings by project researchers. Inside evaluator and principal observation schedules for these 30 teachers are the same as for all other teachers, but principals do not have access to outside evaluator FODAs or summative ratings.

ROBESON COUNTY

All teachers except ICTs are observed a minimum of three times--once each by the outside evaluator, the inside evaluator and the principal. In each case the observation is announced and a pre-observation conference is held. Observers will share FODAs with teachers during a post-observation conference. Observers also provide FODA information to the principal for his/her use in completing the summative appraisal and in preparing the Professional Development Plan. Although observers do not

collaborate with the principal in these activities, the principal may confer with them about their observations before holding a summative/PDP conference with the teacher.

For research purposes, outside evaluators prepare summative ratings based upon their FODAs and those of the inside evaluators. These ratings compared with ratings prepared by principals using the same observation data. Only the principal rating is be maintained in teachers' files and used for performance appraisal purposes. Initially Certified Teachers (ICTs) are observed nine times: three times each by the inside evaluator, the outside evaluator, and the principal. Two observations are announced and one is unannounced. The sharing of FODAs and other information is the same as described above for all other teachers.

WELDON CITY AND WARREN COUNTY

At least five observations are made of each teacher--two each by the outside evaluator and the inside evaluator and one each by the principal. Those observations to be announced and those to be unannounced are determined jointly by the OE project site director and the LEA personnel director. Copies of FODAs and FODIs are given to the teacher during post-observation conferences, with copies filed in the principal's office, the School unit office, and the SDPI site office. A pre-observation conference is held between the observer and the teacher before each announced observation, and post-observation conferences are held within five days after each observation.

Completion of the summative appraisal to be shared with the teacher is the principal's responsibility, but he/she may confer with the observer/evaluator before doing so, if he or she so chooses. The principal also is responsible for writing, implementing, and following-up the professional development plan, but the observer/evaluator may collaborate with the teacher and principal in preparing the plan.

Joint observations of 25 teachers in each school unit are conducted by outside O/Es and inside O/Es or principals, with FODAs prepared independently. Outside O/Es complete summative appraisals to be compared with principal summative appraisals for research purposes only, but the outside appraisals do not become a part of the teachers' records.

ATTACHMENT 2

Implementation of Principal Performance Appraisal System 1987-88

Summary of Procedures

Granville County

Kinston City

Lenoir County

Robeson County

Stanly County

Weldon City

IMPLEMENTATION OF PRINCIPAL PERFORMANCE
APPRAISAL SYSTEM 1987-88

SUMMARY OF PROCEDURES

Evaluation Process

The Principal Performance Appraisal System consists of a Formative phase and a Summative Phase.

The Formative Phase of the evaluation process provides for continuous feedback and data collection. The Summative Phase provides for evaluative conclusions to be drawn based on data gathered in the Formative Phase. The Summative Phase also provides for establishing a Professional Development Plan. The evaluator and the principal set professional growth target objectives to improve professional competencies or set remediation objectives to bring less-than-standard performance to an acceptable level.

For assistant principals the process is the same, except for the involvement of the principal when writing PDP's.

A. Formative Phase

During a preliminary conference, the evaluator and the principal discusses the evaluation procedures and clarifies interpretations of the major functions and performance indicators involved in the PPAI and sets out ground rules for data collection.

In the data collection segment of the Formative Phase, the evaluator monitors the performance of the principal or assistant principal primarily through observations, reviews of data sources and conferences.

The evaluator and the principal identify substantive and relevant information to be obtained and determine the data sources to be used in compiling a principal's portfolio. The term portfolio, as used here, means samples of data gathered and organized as indicators of the attainment of major functions.

During the progress check and feedback segment of the Formative Phase, the evaluator, after completion of at least one observation, holds a conference with the principal. This conference provides an opportunity for feedback, dialogue and counseling. The main objectives of this conference are:

a. to identify data that provide evidence related to the accomplishment of the major functions

b. to review the degree to which the major functions have been accomplished, and

c. to identify problems and plan solutions.

B. Summative Phase

The Summative Phase consists of an appraisal and a rating of the principal by the evaluator. The evaluator reviews each of the performance indicators and the major functions in the context of data collected during the Formative Phase, including the principal's portfolio. A rating is given to each major function, and a summative conference is held between the evaluator (Superintendent) and the principal or, in the case of assistant principals, between the evaluator (principal) and the assistant principal. Results of the evaluation are placed in the appropriate personnel file.

C. Research Component

For purposes of Outside Evaluator Research, summative ratings are determined independently by the Outside Evaluator and the Superintendent (or principal) and forwarded to project researchers. Only ratings developed by the Superintendent (or principal) are used for personnel evaluation purposes.

EVALUATION MODEL

Approx. time	Activity	Responsibility
Aug.-Sep.	Effective Principal Training	OE
September	Orientation	OE/Supt.
September	Preliminary Conferences	OE/Supt.
Oct.-Dec.	Data Collection	Independent
January	Formative Analysis (FODA I)	OE/Supt.
Jan.-April	Data Collection	Independent
May	Formative Analysis (FODA II)	Independent
June-July	Summative Analysis and Rating	Independent
TBA	PDP Preparation	OE/Supt.

*For assistant principal evaluations, substitute the word "principal" for "superintendent" in the material above and "assistant principal" for "principal".